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OFFICIAL**Transmittal Cover Sheet**

TO Mr. Geoffrey Akers
Examiner

Company U.S. Patent Office

Fax Number 1-703-305-7687

Phone Number 1-703-3065844

FROM Randi Flamenbaum-Legal Assistant-Direct Dial 212-801-2242

File Number U.S. Appln. No.: 09/883,001-A METHOD FOR STRUCTURING A TRANSACTION
Our Ref. No. 06878.110601

Comments Dear Mr. Akers:

Attached please find a copy of the filing receipt issued June 21, 2002 noting the inventor's name as **James Takeshi**. We also send in a corrected copy of the receipt showing that the inventor name should be changed to **James Takeshi Sugahara**, as noted on the executed Inventor Declaration that was filed September 24, 2001 (copy attached).

We also attach a change of address form so all future correspondence for this application will be sent to GREENBERG TRAURIG LLP 885 Third Avenue, New York, New York 10022, Attn: Barry Schindler, Esq., Reg. No.: 32,938.

We await the early receipt of the corrected filing receipt.

Please send me confirmation of receipt of instructions by facsimile 212-688-2449.

Thank you for your assistance in this matter.

Randi Flamenbaum
Randi Flamenbaum
Legal Assistant
October 23, 2003

Date

Time 1:00 pm

No. Pages Including this cover sheet 6

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PTO/SB/122 (05-03)

Approved for use through 11/30/2005. OMB 0651-0035

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CHANGE OF CORRESPONDENCE ADDRESS Application

Address to:
Commissioner for Patents
P.O. Box 1450
Alexandria, VA 22313-1450.

Application Number	09/883,001
Filing Date	06/15/2001
First Named Inventor	James Takoshi Sugahara
Art Unit	3824
Examiner Name	Mr. Geoffrey Akers
Attorney Docket Number	06878.110601

Please change the Correspondence Address for the above-identified patent to:

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I am the:

☐ Applicant/Inventor

☐ Assignee of record of the entire interest.
Statement under 37 CFR 3.7(b) is enclosed. (Form PTO/SB/96).

☒ Attorney or Agent of record.

☐ Registered practitioner named in the application transmittal letter in an application without an executed oath or declaration. See 37 CFR 1.33(a)(1). Registration Number _____

Typed or Printed
Name

Barry J. Schindler, Esq.

Signature

Date 10/23/2003

Telephone 212-601-2244

NOTE: Signatures of all the inventors or assignees of record of the entire interest or their representative(s) are required. Submit multiple forms if more than one signature is required, see below.

☒ Total of 1 forms are submitted.

This collection of information is required by 37 CFR 1.33. The information is required to obtain or retain a benefit by the public which is to file (and by the USPTO to process) an application. Confidentiality is governed by 35 U.S.C. 122 and 37 CFR 1.14. This collection is estimated to take 3 minutes to complete, including gathering, preparing, and submitting the completed application form to the USPTO. Time will vary depending upon the individual case. Any comments on the amount of time you require to complete this form and/or suggestions for reducing this burden, should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, U.S. Department of Commerce, P.O. Box 1450, Alexandria, VA 22313-1450. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450.

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WASHINGTON, D.C. 20231
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APPLICATION NUMBER	FILING DATE	GRP ART UNIT	FIL FEE REC'D	ATTY. DOCKET NO	DRAWINGS	TOT CLAIMS	IND CLAIMS
09/883,001	06/15/2001	3624	1568	7056.033	6	56	4

25546
DREIER & BARITZ LLP
499 PARK AVENUE
20TH FLOOR
NEW YORK, NY 10022

CONFIRMATION NO. 9840

CORRECTED FILING RECEIPT



OC00000008330803

Date Mailed: 06/21/2002

ORIGINAL COPY

Receipt is acknowledged of this nonprovisional Patent Application. It will be considered in its order and you will be notified as to the results of the examination. Be sure to provide the U.S. APPLICATION NUMBER, FILING DATE, NAME OF APPLICANT, and TITLE OF INVENTION when inquiring about this application. Fees transmitted by check or draft are subject to collection. Please verify the accuracy of the data presented on this receipt. If an error is noted on this Filing Receipt, please write to the Office of Initial Patent Examination's Filing Receipt Corrections, facsimile number 703-746-9195. Please provide a copy of this Filing Receipt with the changes noted thereon. If you received a "Notice to File Missing Parts" for this application, please submit any corrections to this Filing Receipt with your reply to the Notice. When the USPTO processes the reply to the Notice, the USPTO will generate another Filing Receipt incorporating the requested corrections (if appropriate).

Applicant(s)

James Takeshi, Long Island City, NY;

Domestic Priority data as claimed by applicant

Foreign Applications

If Required, Foreign Filing License Granted 08/09/2001

Projected Publication Date: 12/19/2002

Non-Publication Request: No

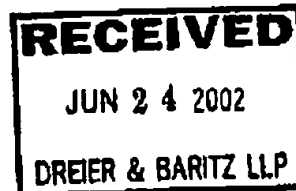
Early Publication Request: No

Title

Method for structuring a transaction

Preliminary Class

705

LICENSE FOR FOREIGN FILING UNDER
Title 35, United States Code, Section 184



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APPLICATION NUMBER	FILING DATE	GRP ART UNIT	FIL FEE REC'D	ATTY. DOCKET NO	DRAWINGS	TOT CLAIMS	IND CLAIMS
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NEW YORK, NY 10022

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corrected copy

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Applicant(s)

~~James Takeshi~~, Long Island City, NY:

James Takeshi Sugahara

Domestic Priority data as claimed by applicant

Foreign Applications

If Required, Foreign Filing License Granted 08/09/2001

Projected Publication Date: 12/19/2002

Non-Publication Request: No

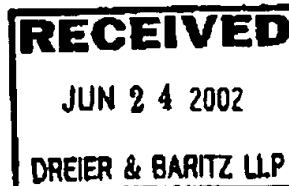
Early Publication Request: No

Title

Method for structuring a transaction

Preliminary Class

705

LICENSE FOR FOREIGN FILING UNDER
Title 35, United States Code, Section 184

PTO/SB/01 (03-01)

Approved for use through 10/31/2002. OMB 0851-0032
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**DECLARATION FOR UTILITY OR
DESIGN
PATENT APPLICATION**
(37 CFR 1.63)

☐ Declaration Submitted with Initial Filing

OR

☒ Declaration Submitted after Initial Filing (surcharge (37 CFR 1.16 (e)) required)

Attorney Docket Number 7056.033

First Named Inventor James Takashi Sugahara**COMPLETE IF KNOWN**

Application Number 09/883,001

Filing Date June 16, 2001

Group Art Unit 2161

Examiner Name To Be Assigned

As a below named inventor, I hereby declare that:

My residence, mailing address, and citizenship are as stated below next to my name.

I believe I am the original, first and sole inventor (if only one name is listed below) or an original, first and joint inventor (if plural names are listed below) of the subject matter which is claimed and for which a patent is sought on the invention entitled:

A METHOD FOR STRUCTURING A TRANSACTION

(Title of the invention)

the specification of which

☐ is attached hereto

OR

☒ was filed on (MM/DD/YYYY) **June 15, 2001**

as United States Application Number or PCT International

Application Number **09/883,001**

and was amended on (MM/DD/YYYY)

(if applicable).

I hereby state that I have reviewed and understand the contents of the above identified specification, including the claims, as amended by any amendment specifically referred to above.

I acknowledge the duty to disclose information which is material to patentability as defined in 37 CFR 1.56, including for continuation-in-part applications, material information which became available between the filing date of the prior application and the national or PCT international filing date of the continuation-in-part application.

I hereby claim foreign priority benefits under 35 U.S.C. 119(a)-(d) or (f), or 365(b) of any foreign application(s) for patent, inventor's or plant breeder's rights certificate(s), or 365(a) of any PCT International application which designated at least one country other than the United States of America, listed below and have also identified below, by checking the box, any foreign application for patent, inventor's or plant breeder's rights certificate(s), or any PCT International application having a filing date before that of the application on which priority is claimed.

Prior Foreign Application Number(s)	Country	Foreign Filing Date (MM/DD/YYYY)	Priority Not Claimed	Certified Copy Attached?	
				YES	NO
			<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
			<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
			<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
			<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

☐ Additional foreign application numbers are listed on a supplemental priority data sheet PTO/SB/026 attached hereto.

(Page 1 of 2)

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I hereby declare that all statements made herein of my own knowledge are true and that all statements made on information and belief are believed to be true; and further that these statements were made with the knowledge that willful false statements and the like so made are punishable by fine or imprisonment, or both, under 18 U.S.C. 1001 and that such willful false statements may jeopardize the validity of the application or any patent issued thereon.							
NAME OF SOLE OR FIRST INVENTOR :				<input type="checkbox"/> A petition has been filed for this unsigned inventor			
Given Name (first and middle (if any))				Family Name or Surname			
James Takeshi				Sugahara			
Inventor's Signature				Date		8/22/2001	
Residence: City		Long Island City		State NY		Country US	
Citizenship		US					
Mailing Address							
City		Long Island City		State NY		ZIP 11109	
Country		US					
NAME OF SECOND INVENTOR:				<input type="checkbox"/> A petition has been filed for this unsigned inventor			
Given Name (first and middle (if any))				Family Name or Surname			
Inventor's Signature				Date			
Residence: City		State		Country		Citizenship	
Mailing Address							
City		State		ZIP		Country	
<input type="checkbox"/> Additional inventors are being named on the _____ supplemental Additional Inventor(s) sheet(s) PTO/SB/02A attached hereto.							

(Page 2 of 2)